

Policy:

EST 004 - Lift Policy

Executive or Associate Director lead	Executive Director of Finance
Policy author/lead	Head of Estate Services
Feedback on implementation to	Head of Estate Services

Document type	Policy
Document status	Final
Date of initial draft	March 2019
Date of consultation	March – May 219
Date of verification	15 July 2019
Date of ratification	25 July 2019
Ratified by	Executive Directors Group
Date of issue	29 July 2019
Date for review	30/09/2022 (Extended from 31 July 2022 by PGG on 25/07/2022)

Target audience	All SHSC staff
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Keywords	
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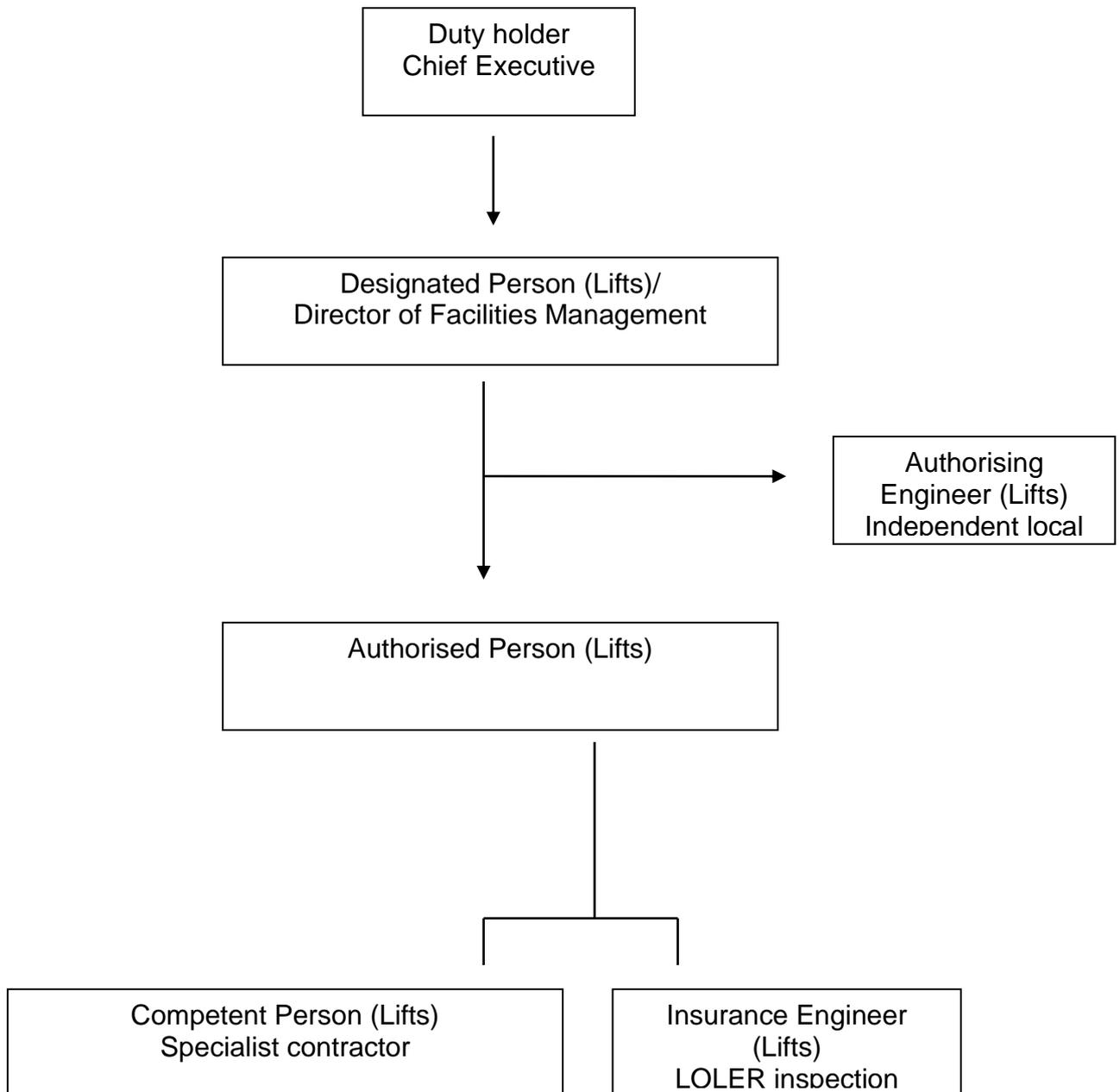
Lift Policy: Version 1

This policy is stored and available through the Sheffield Health and Social Health NHS Foundation Trust's, (SHSC), intranet.

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Flowchart



1. Introduction

As required by various health and safety regulations, the Trust, as owners and operators of lifts, is required to ensure lifts are operated and maintained in a safe manner. HTM08-02 requires a Policy Statement on Lift Management to satisfy the Health and Safety Act and the Lifting Operations and Lifting Equipment Regulations 1998, (LOLER).

The aim of this policy is to ensure lifts belonging to, or maintained by, Sheffield Health and Social Care NHS Foundation Trust, (the Trust), are constructed, operated and maintained to the highest standards and comply, at all times, with current statutory requirements plus industry recognised guidance and standards.

The policy is to provide and maintain safe and healthy working conditions, equipment and systems of work for all staff, service users and visitors, and to provide such resources, information, training and supervision as they need for this purpose. The Trust aims to do all that is reasonably practicable to manage passenger and goods lifts, and to follow the steps laid out in this policy.

Sheffield Health and Social Care NHS Foundation Trust premises are dependent on lifts to provide an efficient, fast and comfortable vertical transportation service for the movement of service users, staff, visitors, medical equipment and ancillary service items.

Contractors employed to work on the Trusts Lift systems will be procured in line with the Trusts Management of Contractors Policy ie via the Approved Contractors List or NHS Framework.

2. Scope

The objective of this policy is to define specific roles and responsibilities for staff and a safe system of management for the operation of lifts across the Trust. As such, the Trust will comply with legal requirements to protect staff, service users and visitors, and staff members and contractors need to be aware of their responsibilities and assistance with:

- Operation and maintenance
- Emergency situations
- Risk assessments

3. Definitions

Designated Person (DP)

An individual appointed by the healthcare organisation, (a board member or a person with responsibilities to the board), who has overall authority and responsibility for the lift systems on the premises.

Authorising Engineer (AE)

A chartered or incorporated engineer with the required knowledge, training and experience who possesses the necessary independence from local management

and is appointed in writing by the Designated Person. The AE assesses the suitability and appointment of Authorised Persons.

Authorised Person (AP)

Individuals possessing sufficient technical knowledge and training appointed by management on the recommendation of the Authorising Engineer. Authorised Persons are responsible for implementing the Lift Policy on a daily basis.

Competent Person (CP)

An individual recognised by the Authorising Persons as having sufficient technical knowledge, experience and training to prevent danger to themselves and others when working on the electrical system. Normally, a Trust-appointed, competent lift contractor.

HTM

Health Technical Memoranda give advice and guidance on the design, installation and operation of specialised building and engineering technology used in healthcare.

ACOP

Approved Code of Practice

LOLER

Lifting Operations and Lifting Equipment Regulations

4. Purpose

The Trust is committed to the safe operation of all the lift systems for which it has a responsibility. The policy aims to determine the management arrangements for safe working when using and maintaining lifts. It will ensure all powered lifts and associated equipment will be designed and installed such that they may be operated and maintained safely when approved operational procedures are followed correctly.

It will also ensure all powered lifts and equipment installed within Trust premises are installed, serviced and used so as to protect staff, service users and members of the public from personal injury or any other damage arising from its use, as far as is reasonably practical.

The Trust regards lift safety at work as also being a responsibility of every employee in order to safeguard themselves, their colleagues and other persons within the sphere of the Trust's interests.

The Trust proposes to continue to promote and develop a proactive safety regime by providing information, training and instruction for all employees, together with safe workplace procedures and rigorous maintenance routines for all lifts and associated equipment.

The Trust reviews procedures for health and safety matters. Identification of hazards, and elimination of risks, shall also take account of the lift systems, with the

safety codes guidance and HTM 08-02 to ensure compliance with statutory legislation.

The effectiveness of the Lift Policy and procedures depends, to a large extent, on the full co-operation and active participation of all employees to implement safe working practices and to report any perceived risk of danger arising from the use of the lift system and associated equipment.

This policy will apply wherever any Trust employees are working, and to all lift equipment of the Trust, wherever it is located.

Suitable and sufficient risk assessments and safe systems of work will be undertaken by management. Management will ensure employees are competent to undertake tasks involving lift maintenance and safety.

Management will ensure correct safety signs are provided to ensure compliance with legislation.

This policy sets out the detailed requirements for the maintenance and safe operation of all passenger and goods lifts serviced by the Trust's Estate Services or contractors.

The lifts will be maintained so they do not present either a physical risk to persons using the lifts or a statutory compliance risk to the Trust.

5. Duties

Roles and Management Responsibility

The full roles and responsibilities are defined within HTM 08-02 and should be referred to for fuller details of individual roles.

Chief Executive

The Chief Executive holds the overall responsibility for Trust health and safety and the implementation of this policy. This responsibility is delegated to the Director of Facilities Management and nominated Estate Services officers identified below.

Director of Facilities Management

The Director of Facilities Management has been delegated the role of Designated Person. The Director of Facilities Management is the Trust's lead for lift safety. He/she will give assurance to the Trust Board regarding compliance with statutory legislation and provide a link with the Director of Corporate Governance to ensure all identified risks are included in the Trust's Risk Register.

Designated Person

The designated person will carry out the following duties:

- a) Appoint in writing a Lift Authorising Engineer for all lift installations for which management has responsibility.
- b) Review the Authorising Engineer's lift duties have been carried out to comply with the Health Technical memorandum HTM08-02.
- c) Maintain a register of all nominated personnel.

Authorising Engineer (external consultant)

The Authorising Engineer (AE) will ideally be a Chartered Engineer who is appointed in writing by the Designated Person, to advise on safety arrangements for defined lift systems.

The AE shall be independent of the Trust and will assess the suitability and appointment of all Authorised Persons (Lifts) for the Trust. The Authorising Engineer (Lifts) will be responsible for implementing, administering and monitoring the application of guidance HTM08-02.

The Authorising Engineer's (Lifts) roles include the following:

- a) Assess, and recommend in writing, sufficient Authorised Persons (Lifts) to provide the necessary cover for all systems for which management has responsibility.
- b) Define the exact extent of the systems and installations for which each Authorised Person (Lifts) is responsible.
- c) If necessary, recommend the suspension or cancellation of the appointment of an Authorised Person (Lifts) and withdraw the certification.
- d) Maintain a register of all Authorised persons (Lifts) and make available to the Designated Person.
- e) Ensure candidates for appointment as Authorised Persons (Lifts) satisfy the qualification requirements.
- f) Satisfy the training and familiarisation requirements.
- g) Demonstrating adequate knowledge of each system, installation and type of equipment for which authorisation is sought.

Authorised Persons

The Authorised Persons (Lifts) are to be senior Estate Services managers, or a similar status, that possess adequate knowledge, sufficient experience and have received the necessary training within this field.

The Authorised Persons should be appointed in writing by the Authorising Engineer to control and manage all lift equipment. This will involve the practical implementation of maintaining, testing and inspecting all passenger lifts. They are to liaise with all necessary parties and provide information to enable the policy to be fully implemented.

The Authorised Person (Lifts) will be responsible for the practical implementation and operation of guidance HTM08-02 and the systems and installations for which management is in control of the danger and for which the Authorised Person (Lifts) has been appointed.

The duties of the Authorised Person include the following:

- a) Appoint in writing Competent Persons (Lifts) and maintain a register of all appointments and make available to the Designated Person.
- b) Co-operate with the Authorising Engineer (Lifts) in matters of policy concerning the lift systems.
- c) Auditing and ensuring the accepted policy and procedures for the safe inspection and testing of all electrical equipment are effectively implemented.

Competent Person

The Competent Person (Lifts) will have sufficient technical knowledge and experience to organise, supervise and control skilled persons and to prevent danger while carrying out work on passenger lift systems. A Competent Person (Lifts) may be a member of Estate Services or a contractor appointed to undertake defined installation or maintenance work. All Competent Persons (Lifts) must be both adequately and appropriately trained. The Competent Person (Lifts) shall comply with this safety guidance and operation of guidance HTM08-02.

Head of Technical Support

The Head of Technical Support has the responsibility for the maintenance and upkeep of asset records appertaining to the inventory and history of all lift equipment in use within the Trust. He/she will ensure the timely production of the Planned Preventative Maintenance (PPM) and status reports.

Head of Capital and Strategic Development

The Head of Capital and Strategic Development - and Project Managers - will ensure all new capital works shall comply with this safety policy and all current legislation, provide adequate information to the appointed personnel so the new installations can be assessed and approved.

With respect to all capital and project work undertaken by the Trust's Project Managers, they shall be responsible for:

- a) Ensuring adequate communication between the design team and Authorised Persons (Lifts).
- b) Ensuring works are carried out in accordance with all relevant legislation, standards and guidance documents.
- c) Designing and managing all capital schemes, including commissioning and the provision of 'as fitted' drawings for lift equipment.
- d) The provision of operating and maintenance manuals for all new lift equipment as required by HTM 08-01 and HTM06-02.

Where a specialist contractor has been appointed under contract by the Trust's management, the contractor shall be required to comply with site rules, developed risk assessments, method statements, permits to work, safe system of working and the following policies:

- a) The requirements of the Trust's Health and Safety policy
- b) The Trust's Low Voltage Electrical Safety Policy
- c) Any instruction issued by the Trust's Authorised Person(s) in accordance with the Trust's Electrical Safety Rules for Low Voltage Systems.
- d) All contracted staff must comply with the Management of Contractors Policy.

6. Process

6.1 General

The law requires that all lifts, when in use, should be thoroughly examined: This will be in accordance with LOLER and carried out by Trust-appointed Engineering Insurance Inspector.

- After substantial and significant changes have been made.
- At least every six months if the lift is used, at any time, to carry people.
- Every 12 months if the lift carries only loads, in accordance with an examination scheme.
- Following 'exceptional circumstances', such as damage to, or failure of, the lift, long periods out of use or a major change in operating conditions which is likely to affect the integrity of the equipment.

Each lift is to be examined by Competent Person (Lifts) once a month in accordance with HTM 08-02. A report of the result of every such examination must be prepared on the prescribed form, signed and dated by the person carrying out the examination.

All work relating to the Trust's LV electrical systems must be sanctioned by the Trust's Authorised Person LV.

All staff using passenger and goods lifts shall observe the following:

- Only use the lift for its intended purpose. Goods lifts are not to be used to carry passengers and should be identified within the Fire Evacuation Plan.
- Do not exceed the stated maximum number of passengers in any lift.
- Do not exceed the stated maximum load for any lift.
- Lifts must not be used in the event of fire alarm activation unless it is a lift specifying that it can be used for evacuation purposes.
- Report any defects to the Estate Services helpdesk, (x18181).

6.2 Lift Motor Room

- The lift motor room is to be kept locked at all times; access is by persons authorised to carry out duties within the room.
- All safety rails and guards are to be in place.
- If rotating parts are not guarded, take particular care when hand winding. All rotating parts are to be painted yellow (BS7255 1989 and the Provision and Use of Work Equipment Regulations (PUWER) 1998. Safe use of work equipment, Approved Code of Practice and guidance L22).
- Lift motor room floor hatches should be tested and marked with the safe working load [SWL].
- Suitable safety rails, (edge protection), will be used if the hatch has to be open for any reason, (see: ACOP 'Safe use of Lifting Equipment' L113.Regulation 3, Paragraph 68 to82).
- Rubber safety mats are to be in place at control panels/equipment. These should be tested and clean.
- Ensure appropriate signage is posted at all times.
- The room is to be kept clean and tidy at all times and free of redundant materials/equipment.

6.3 Working on Lifts

- Safety/caution signs must be posted at all point of lift car access, (each landing), to warn the lift is out of service.
- Isolate and lock off all sources of supply in accordance with the lock off procedures before working on electrical equipment.
- Ensure appropriate signage is posted at all times.

6.4 Working on/in the Lift Pit

- *Safety/caution* signs must be posted to warn of the risk of falling.
- Safety barriers are to be used whenever work is required in the lift pit or at car doors.
- *Safety/caution* signs must be posted to warn of the danger of crushing by the car or platform of a hydraulically-operated lift.
- The lift should be suitably propped and prevented from downward movement before any work is undertaken beneath it.
- Before any person enters a lift pit the electrical power supply shall be isolated using the lift pit switch, where provided, and 'Caution' notices placed on points of isolation.
- Ensure appropriate signage is posted at all times.

6.5 Working in a Lift Shaft

- *Safety/caution* signs must be posted at all points of lift car access, (each landing), to warn that the lift is out of service.
- Isolate and lock off all sources of supply in accordance with the lock off procedures before working on electrical equipment.
- Ensure appropriate signage is posted at all times.

6.6 Working on Car Tops

- *Safety/caution* signs must be posted at all points of lift car access, (each landing), to warn that the lift is out of service.
- Keep clear of counter weight when riding on car top.
- All double lift installations should have the lift shaft totally screened - keep away from that adjacent edge.
- Ensure appropriate signage is posted at all times.

6.7 Hand Winding

- Staff must be trained to carry out hand winding.
- Isolate and lock off all sources of supply in accordance with the lock off procedures before working on electrical equipment.
- When hand winding has been carried out, any separate winding wheel and/or brake release lever shall be removed before restoring the electrical supply.
- Ensure appropriate signage is posted at all times.

6.8 Access Controls

Ensure:

- Only authorised persons are permitted to enter a lift motor room.
- *No Entry* signs to be fitted to all lift motor room doors.
- Before any plant, equipment, electrical and pressure, (hydraulic), systems are worked on, they must be safely isolated from all sources of danger. Safe isolation methods include permits, locks and caution notices.
- Safety lock-offs will be controlled using special locking devices to allow the use of safety locks.
- The keys to safety locks are to be retained by the Competent Person who applied them. Each competent person will be issued with a personal

lock(s). The issue will be recorded. A spare key will be locked in a safe where access can only be obtained in an emergency.

- If an Authorised Person applies the safety lock before the permit-to-work is issued, the key must be placed in a key safe; one key to the key safe being retained by the Authorised Person, and the other being issued to the person in receipt of the permit.

6.9 Maintenance and Test Records

Records will be kept of:

- The thorough examination report
- All maintenance, service and repairs

The thorough examination report - by law should:

- identify the equipment examined, (serial number, make, etc.), the employer and the premises;
- state the date of the last thorough examination and specify when the next one should take place;
- specify the safe working load of the lift;
- state the reason for the thorough examination, (e.g. following installation, according to an examination scheme, statutory interval, etc.);
- identify any defect which is, or may become, a danger to people;
- give the details of any repair, renewal or alteration required to remedy the defect and the date by which it should be undertaken;
- give details of any tests carried out;
- give details of the person carrying out the report.

6.10 Competence

Any individual working on lift equipment should have documented competence in lift works, as identified in HTM 08-02, and noted previously in this policy.

Persons required to monitor and control lift specialist contractors and oversee lift stewards and wardens will be suitably trained by having attended appropriate courses, which may include specialist lift manufacturer courses.

A Training Needs Analysis will be conducted in order to identify staff requiring training and the level of such training.

6.11 Training - Emergency Release of Passengers

The emergency release of lift passengers, and using the hand winding procedure, will be only carried out by trained people - normally the competent contractor employed to provide a maintenance contract to the Trust, or those who have received training from the lift manufacturer or passed approved courses in accordance with the HTM which will include:

- Instruction in the safety skills and knowledge common to the safe operation of lifts
- The dangers arising from inappropriate actions
- Hazardous areas, (e.g. beneath lift cars)
- The main causes of accidents and relevant safe working practices, including the correct use of barriers
- Slips trips and falls

7. Dissemination, Storage and Archiving (Control)

An electronic copy of the policy shall be accessible via the Trust intranet.

8. Training and Other Resource Implications

Estate Services managers will require training/information.

9. Audit, Monitoring and Review

The policy arrangement will be monitored by Estate Services.

The Policy to be reviewed in 3 years, or earlier should any changes in local or national requirements or guidance or lessons learnt.

10. Implementation Plan

Action/Task	Responsible Person	Deadline	Progress update
Advise the Health and Safety Group that the Policy has been ratified	Health and Safety/ Risk Advisor	TBC	
Put the revised Policy on to the intranet	Health and Safety/ Risk Advisor	TBC	
Reference the revised Policy in Risk Management Training	Health and Safety/ Risk Advisor	TBC	

11. Links to Other Policies, Standards and Legislation (associated documents)

- Health and Safety Policy
- Low Voltage Electrical Safety Policy
- Management of Contractors Policy
- Procurement Policy
- Confidentiality Code of Conduct Policy

12. Contact Details

Title	Name	Phone	Email
Director of Facilities Management	Helen Payne	27 18697	helen.payne@shsc.nhs.uk
Head of Estate Services	Mark Gamble	27 18698	mark.gamble@shsc.nhs.uk
Head of Capital and Strategic Development	Geoff Rawlings	27 18199	geoff.rawlings@shsc.nhs.uk
Maintenance Manager	Daniel Mulhall	27 11155	daniel.mulhall@shsc.nhs.uk

13. References

Health and Safety at Work etc. Act 1974

HTM 06 - 01 Electrical services supply and distribution **Part B**: Operational management

HTM 06 - 02 'Electrical services supply and distribution' Electrical Safety Guidance for low voltage systems

The Management of Health and Safety at Work Regulations 1999

The Provision and Use of Work Equipment Regulations 1998

The Working at Height Regulations 2005; page 14 of 18

The Control of Substances Hazardous to Health Regulations 2002

The Electricity at Work Regulations 1989

Memorandum of Guidance on the Electricity at Work Regulations 1989

Electrical Equipment (Safety) Regulations 1994

Guidance on safe isolation procedures

GS38. Electrical test equipment for use by electricians

INDG354 (rev1): Safety in electrical Testing.

HSG85: Electricity at work: safe working practices

The Health and Safety (Safety Signs and Signals) Regulations 1996

ACOP L22 PUWER - Safe use of work equipment

Personal protective equipment at work 2nd edition

INDG402: Safe use of ladders

INDG405: Top tips for ladder and stepladder safety

INDG73 (rev): Working Alone in safety

Thorough examination and testing of lifts, simple guidance for lift owners

Appendix A - Version Control and Amendment Log

Version No.	Type of Change	Date	Description of change(s)
1	New policy	March 2019	New policy

Appendix B - Dissemination Record

Version	Date on website (intranet and internet)	Date of 'all SHSC staff' email	Any other promotion/ dissemination, (include dates)

Appendix C - Equality Impact Assessment Form

Equality Impact Assessment Process for Policies Developed Under the Policy on Policies

Stage 1 - Complete draft policy

Stage 2 - Relevance - is the policy potentially relevant to equality, i.e. will this policy potentially impact on staff, patients or the public? If **NO**, no further action is require. Please sign and date the following statement. If **YES**, proceed to Stage 3

This policy does not impact on staff, service users or the public, (insert name and date) Mark Gamble, March 2019

Stage 3 - Policy screening - public authorities are legally required to have 'due regard' to eliminating discrimination , advancing equal opportunity and fostering good relations , in relation to people who share certain 'protected characteristics' and those that do not. The following table should be used to consider this and inform changes to the policy (indicate yes/no/ don't know and note reasons). Please see the SHSC guidance on equality impact assessment for examples and detailed advice; this can be found at <http://www.shsc.nhs.uk/about-us/equality--human-rights>

	Does any aspect of this policy actually or potentially discriminate against this group?	Can equality of opportunity for this group be improved through this policy or changes to this policy?	Can this policy be amended so that it works to enhance relations between people in this group and people not in this group?
AGE	No		
DISABILITY	No		
GENDER REASSIGNMENT	No		
PREGNANCY AND MATERNITY	No		
RACE	No		
RELIGION OR BELIEF	No		
SEX	No		
SEXUAL ORIENTATION	No		
MARRIAGE AND CIVIL PARTNERSHIP	No		

Stage 4 - Policy Revision - Make amendments to the policy or identify any remedial action required (action should be noted in the policy implementation plan section)

Please delete as appropriate: Policy Amended/Action Identified/No Changes Made
Impact Assessment Completed by (insert name and date)

Mark Gamble, March 2019

Appendix D - Human Rights Act Assessment Checklist

You need to be confident that no aspect of this policy breaches a person's Human Rights. You can assume that if a policy is directly based on a law or national policy it will not therefore breach Human Rights.

If the policy, or any procedure(s) in the policy, is based on a local decision which impacts on individuals, there is a need to ensure their human rights are not breached. To do this, refer to the more detailed guidance that is available on the SHSC website - <http://www.justice.gov.uk/downloads/human-rights/act-studyguide.pdf> (relevant sections numbers are referenced in grey boxes on diagram) and work through the flow chart on the next page.

1. Is your policy based on, and in-line with, the current law, (including case law), or policy?

Yes. No further action needed

No. Work through the flow diagram over the page then answer questions 2 and 3 below

2. On completion of flow diagram, is further action needed?

No. No further action needed

Yes, go to question 3

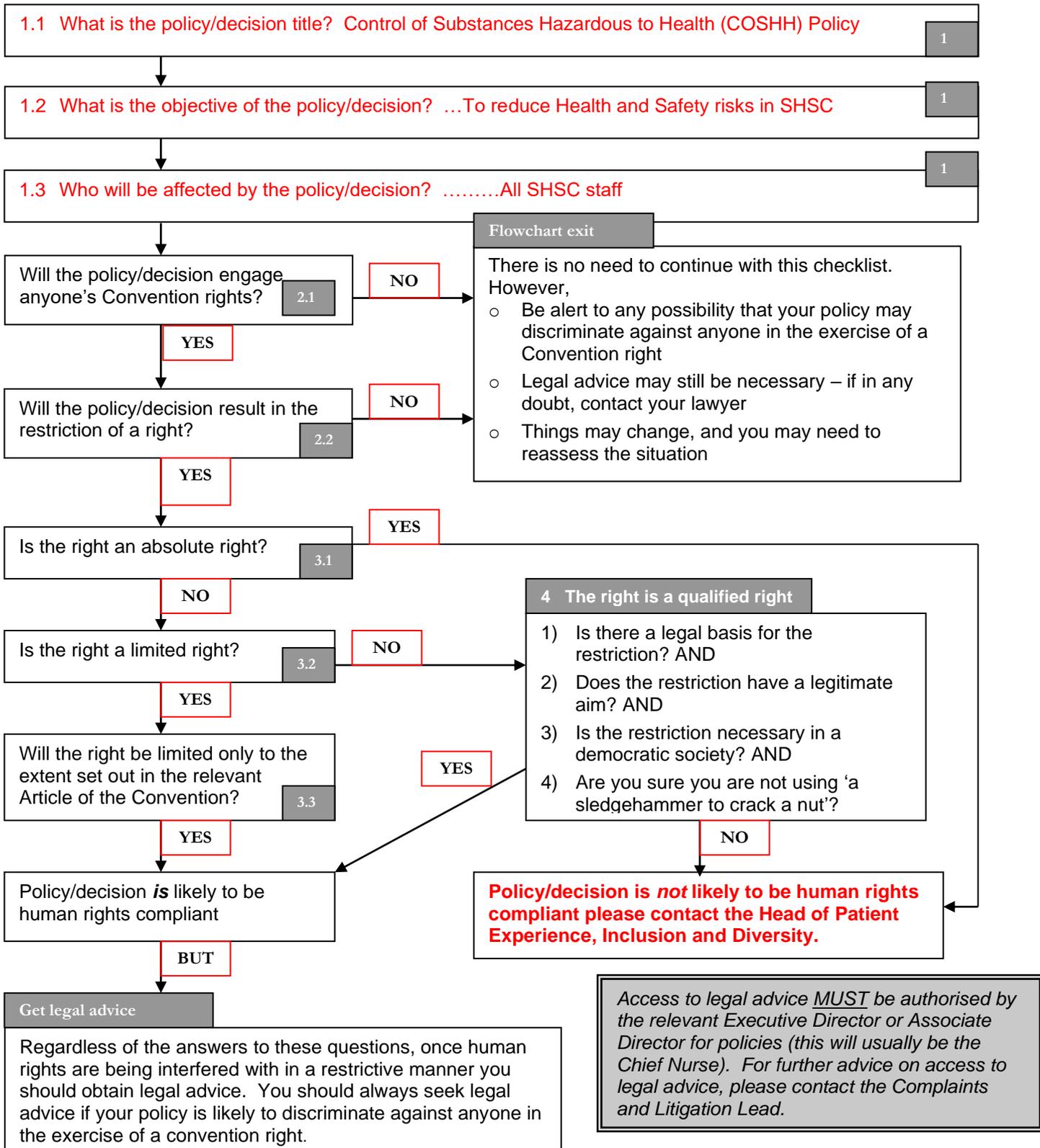
3. **Complete the table below to provide details of the actions required**

Action required	By what date	Responsible person

Human Rights Assessment Flow Chart

Complete text answers in boxes 1.1 - 1.3 and highlight your path through the flowchart by filling the YES/NO boxes red (do this by clicking on the YES/NO text boxes and then from the Format menu on the toolbar, choose 'Format Text Box' and choose red from the Fill colour option).

Once the flowchart is completed, return to the previous page to complete the Human Rights Act Assessment Form.



Appendix E - Development, Consultation and Verification Record

Name of Policy: Lift	Name of Policy Lead: Mark Gamble
Date: March 2019	Contact Details: (0114) 27 18698
Consultation Plan:	
Director of Facilities Management	
Head of Capital and Strategic Development	
Fire and Security Officer	
Health and Safety/Risk Advisor	
Maintenance Manager	

RECORD OF CONSULTATION (interactive)			
Group or individual consulted	Date of consultation/ response received	Comments on draft policy	Your response (say if policy amended - if not, why not)
Director of Facilities Management	15 May 2019	Section 5: Competent Person - amended from Competent Person LV to Competent Person (Lifts) Section 6.1 - amended to include Insurance Inspector	Amended accordingly

Appendix F - Policy Checklist

Please use this as a checklist for policy completion. The style and format of policies should follow the policy template, which can be downloaded from the intranet.

1. Cover sheet



All policies must have a cover sheet which includes:

- The Trust name and logo
- The title of the policy (in large font size as detailed in the template)
- Executive or Associate Director lead for the policy
- The policy author and lead
- The implementation lead (to receive feedback on the implementation)
- Date of initial draft policy
- Date of consultation
- Date of verification
- Date of ratification
- Date of issue
- Ratifying body
- Date for review
- Target audience
- Document type
- Document status
- Keywords
- Policy version and advice on availability and storage



2. Contents page



3. Flowchart



4. Introduction



5. Scope



6. Definitions



7. Purpose



8. Duties



9. Process



10. Dissemination, Storage and Archiving



11. Training and Other Resource Implications



12. Audit, Monitoring and Review

This section should describe how the implementation and impact of the policy will be monitored and audited and when it will be reviewed. It should include timescales and frequency of audits. It must include the monitoring template as shown in the policy template (example below).



Monitoring Compliance Template						
Minimum requirement	Process for monitoring	Responsible individual/group/committee	Frequency of monitoring	Review of results process, (e.g. who does this?)	Responsible individual/group/committee for action plan development	Responsible individual/group/committee for action plan monitoring and implementation
A) describe which aspect this is monitoring?	e.g. review, audit	e.g. Education and Training Steering Group	e.g. annual	e.g. Quality Assurance Committee	e.g. Education and Training Steering Group	e.g. Quality Assurance Committee

13. Implementation Plan



14. Links to Other Policies, Standards and Legislation



15. Contact Details



16. References



17. Version Control and Amendment Log - (Appendix A)



18. Dissemination Record - (Appendix B)



19. Equality Impact Assessment Form - (Appendix C)



20. Human Rights Act Assessment Checklist - (Appendix D)



21. Policy Development and Consultation Process - (Appendix E)



22. Policy Checklist - (Appendix F)

